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Our File No. 9281-4621 Client Reference No. K2F US99641

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ln re	Application of:	)	
Miki (	Ono et al.	)	
Seria	l No. To Be Assigned	)	
Filing Date: Herewith			Group Art Unit: 2828
For:	Optical Semiconductor Device Provided with High-NA Lens	)	

## **INFORMATION DISCLOSURE STATEMENT**

Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

Pursuant to the obligation under 37 C.F.R. 1.56 and in conformance with 37 C.F.R. 1.97-1.99, Applicants hereby submit references A1 – A7 listed on the attached form PTO-1449 for consideration by the Examiner. Copies of the references are enclosed herewith.

Japanese Unexamined Patent Application Publication No. 11-295561 discloses an aspheric lens arranged in the V-shaped groove of the silicon substrate.

The filing of this Information Disclosure Statement does not constitute an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. Section 1.56(b). Further, Applicants reserve the right to contest these references as prior art against the present application, and Applicants do not believe that the disclosure of these references, even if finally determined to be prior art, anticipates Applicants' invention or that these references make Applicants' invention obvious.

No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be

deemed necessary for any reason relating to this material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925.

Applicants respectfully request that the Examiner review the entire disclosure of these documents and make them of record.

Respectfully submitted,

Gustavo Siller, Jr.

Registration No. 32,305 Attorney for Applicants

BRINKS HOFER GILSON & LIONE P.O. BOX 10395 CHICAGO, ILLINOIS 60610 (312) 321-4200

FORM PTO-1449	SERIAL NO.		CASE NO.
	TO BI	E ASSIGNED	9281-4621
LIST OF PATENTS AND PUBLICATIONS FOR	FILING DATE		GROUP ART UNIT
APPLICANT'S INFORMATION DISCLOSURE		HEREWITH	
STATEMENT			
(use several sheets if necessary)	APPLICANTS MI	ki Ono et al	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

REFERENCE DESIGNATION			U.S. PATEN	I DOCUMENTS		
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	5,555,333	09/1996	Kato		
	A2	5,706,371	01/1998	Pan		
	A3	5,852,696	12/1998	Collins et al.		
	A4	5,966,488	10/1999	Miura et al.		
	A5	5,991,492	11/1999	Ota et al.		
	A6	6,172,997 B1	01/2001	Miyake et al.		
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## **FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS/ SUBCLASS	TRANS	LATION NO
	A7	Japanese Unexamined Patent Application Publication No. 11-295561	10/29/1999	Japan		X (Partial)	
L		]					

EXAMINER INITIAL	OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

EXAMINER	DATE CONSIDERED
	<u> </u>

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.